

## **Appendix D**



## **5. ELEMENTS OF PROBATION AND PRETRIAL SERVICES OFFICES “CASE” FILES**

### *Note*

Documents and other information items related to ongoing or prospective litigation are often produced or acquired originally in judges’ chambers and other court units. These items, though maintained in separate office files, are often subsequently included in, or attached to, the official case files described in the preceding charts. As the federal courts move to create and maintain official case files in electronic form, attention should be given to the separate systems of office files and how best to integrate them, or link their contents, with a court’s electronic case file system. To illustrate this point, the following charts analyze the contents of litigation-related files maintained by probation and pretrial services offices. As with the charts describing typical appellate, civil, criminal, and bankruptcy case files, these charts describe for each file item the key features and practical considerations that may affect how that item can be accommodated in an electronic file system.



## a. Elements of the Probation Case File

Description	Proceeding	Item Creator	Item User (Matters of Record-- Public Assumed)	Access Reason/Frequency (Public-On Demand for Any Unsealed Pleadings)	Available Electronically?	Average Size	Frequency	Significant Format Requisites	Need To Secure?	Need To Retain?	Other Special Issues
Criminal Complaint/ Indictment/Information	•Initial Appearance •Arraignment •Plea •Trial	•Case Agent •AUSA •Grand Jury	•Clerk of Court •USPO •Judges •AUSA •Defense •Appellate Courts	•Docketing •Presentence investigation •Supervision •Sentencing	NO	10 Pages	Every case	Legal format	NO*	YES	*Secure if Sealed
Discovery (including Affidavits, Search Warrants, Offense Details)	Trial or Plea Preparation	•Case Agent •AUSA	•AUSA •USPO •Defense	•Initial guideline calculations •Trial preparation	NO	Varies	Every case	None	YES	NO	Discovery may be confidential/ sealed
U.S. Pretrial Services Report	•Initial Appearance •Arraignment	Pretrial Services	•USPO •Defense •AUSA •Magistrate or District Judge	•Prepare guideline calculation •Presentence Report preparation	YES	3 Pages	Most cases	AO Manual	YES	YES	Pretrial Report (not public record)
Arrest Data Info. Form (USM 129)	None	U.S. Marshal	•Law Enforcement •USPO	•Arrest •Presentence Report preparation	NO	2 pages	Most cases	U.S. Marshal form	YES	NO	Not very useful after completion of Prob Form 1
Bond Release Order	Bail reviews	Magistrate or District Judge	•USPO •Judges •AUSA •Defense	Presentence Report preparation	NO	4 pages	Every case	Legal format	NO	YES/ NO*	*Not very useful after sentencing
PACTS Data and other statistical forms	None	•USPO •DQA's •Automat. Dept.	•USPO •Statistical Division •Management	Statistical purposes and management tools	YES/NO	Varies	Every case	PACTS	YES*	NO*	*Generally not retained, if so, should be secured
Plea Agreement	•Guilty Plea •Sentencing	AUSA	•USPO •Judges •Defense	•Presentence report •Sentencing	YES	8 pages	Most cases	Legal format	NO*	NO	Secure if sealed
Forms 13 A-D	Presentence Investigation	USPO	•USPO •Court •AUSA •Defense	Allows a presentence investigation to begin prior to guilty plea	YES	4 pages	Rarely used	AO form	YES	YES	
Form 1	None	USPO	USPO	•Presentence Report •Supervision	NO	8 pages	Every case	Standard form	YES	YES	Confidential document
Rap Sheets/Arrest Reports (NCIC, NLETS and local printouts/documents)	•Presentence Investigation •Supervision	•Arresting Agencies •Courts	•USPO •Court	•Presentence Report •Supervision (verify/determine new criminal conduct)	NO	Varies	Every case		YES	YES	Retention depends on state regs.
Personal Financial Statement and Affidavit (Prob Form 48 A, B & C)	•Presentence Investigation •Supervision	•USPO •Defendant	•USPO •Defense •Court	•Presentence Report •Supervision •Used to determine defendant's financial profile	NO	6 to 8 pages	Every case	AO forms	YES	YES	Now Required by Anti- Terrorism Act

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Supporting financial documentation (bank statements, payment stubs, income tax returns, etc.)	•Presentence Investigation •Supervision	•Defendant •Related Agencies	USPO	Used to determine defendant's financial profile	NO	varies	Most cases		YES	YES	IRS info is confidential Tax returns are returned to defendant or destroyed. Some cases may be voluminous
Information Release Authorizations (Prob forms 11 A thru J; Military, D&A, General, State and Federal, Financial)	•Presentence Investigation •Supervision	USPO (Form is signed by defendant)	•USPO •Various other agencies	To allow USPO to verify background and treatment information	YES/NO	1 page each	Every case	AO forms	YES	YES	
Release of IRS Information	•Presentence Interview •Supervision	•USPO •IRS	•USPO •IRS	For USPO to obtain/verify information from IRS	YES/NO	1 page	Most cases	IRS form or acceptable alternate	YES	YES	Not public record/ confidential
Immigration Status/ Notification form	Presentence Investigation	USPO	Immigration & Naturalization	Used by USPO to determine defendant's status in U.S.	YES	1 page	Some cases		YES	YES	More prevalent in border districts
Request for background information (Prob Forms 14A thru G; Arrest, Military, Medical, Employment, Education, Birth, Marriage and Divorce)	Presentence Investigation	USPO	USPO	To verify/obtain information regarding a defendant's background	YES	1 page each	most cases	AO forms	YES*	YES*	*Retain and secure until response is received, then only retain and secure response
Background information responses	•Presentence Investigation •Supervision	Agency from which information is requested	USPO	To verify/obtain information regarding a defendant's background	NO	1 to 10 pages	Most cases	None	YES	YES	
Collateral letters (request)	Presentence Investigation	USPO	USPO's in other districts	To obtain information about a defendant from other districts	YES	2 pages	Most cases	AO Manual	YES*	YES*	*Retain and secure until response is received, then only retain and secure response
Collateral responses (information received from other districts includes letter & supporting documentation)	Presentence Investigation	USPO's in other districts	USPO	To obtain information to compile a presentence report	YES	7 pages	Most cases	AO Manual	YES	YES	Responses vary in size depending on individual case

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HIV or Infectious Disease Waivers and related documents	•Presentence Investigation •Supervision	•USPO •Defendant	•USPO •Court Authorized Others	•Presentence Report •BOP •Institution •Supervision	YES/NO	1 page per form	Rarely	Judicial Conference	YES	YES	Must secure specific releases, even from other probation office staff
Psychological or Psychiatric Evaluations/ and Observation and Study Reports	•Presentence Investigation •Sentencing •Supervision	•Physician •BOP	•USPO •Court •Defense •AUSA	•Defendant competency •Presentence Report •Treatment Issues	NO	2 to 15 pages	Some cases	None	YES*	YES	Very important to keep in regular case file but kept separately secured
Victim Notification Forms	•Presentence Investigation •Sentencing	USPO	•USPO •Court •AUSA •Defense	To complete victim information in the Presentence Report	YES	2 to 4 pages	Many cases	Statute and AO format	YES	YES	Now Required by Anti- Terrorism Act Retention not necessary after receipt of response
Victim Responses (Affidavit)	•Presentence Investigation •Sentencing	Victim	•USPO •Court •AUSA •Defense	To complete victim information in the Presentence Report	NO	2 to 4 pages	Many cases	No	YES	YES	Now Required by Anti- Terrorism Act
Personal notes from presentence investigation	•Presentence Investigation •Sentencing	USPO	USPO	Used by USPO to prepare PSR but may be needed as evidence to defend findings	NO	Varies	Most cases	None	YES	YES/ NO	Considerable disagreement concerning need to retain notes in case file and for what duration
Presentence Investigation Report (including Addendum and Recommendation) Note: Addendum includes correspondence from the parties regarding objection to the presentence report.	Sentencing	•USPO •AUSA •Defense	•USPO •AUSA •Judge •Defense •BOP •Institution •Sentencing Commission	•Sentencing purposes •Appeals •Determination of guideline calculation •Designation of inmate •Supervision of defendant while incarcerated/ special needs or conditions •Statistical analysis	YES	10 to 30 pages	Nearly every case	Monograph publications 105 and 107	YES	YES	Report is confidential
Defendant Character Letters	Sentencing	Coordinated by Defense	•Judge •USPO •AUSA •Defense	Sentencing determination	NO	Varies	Many cases	None	YES	YES	Sometimes included in Addendum to the presentence report

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Sentencing Memoranda/Briefs by the parties	Sentencing	•AUSA •Defense	•USPO •AUSA •Defense •Judge	•Prepare for sentencing •Present support/argument of objections to the presentence report •Prepare tentative findings	NO	Varies	Many cases	Legal format	YES	YES	
Judgment and Commitment Order (J & C) Note: To include Modified, Amended, Revocation and Forfeiture Orders	Sentencing	•Judge •Clerk of Court •(Probation Office in some Districts)	•USPO •BOP •Institution •Clerk of Court •Sentencing Commission	•Supervision •Inmate designation •Fine payments / restitution, etc. •Statistical analysis	YES	Generally 5 pages	Every case	Forms package	YES	YES	
Probation form 7A (conditions of supervision)	•Sentencing •Supervision	USPO	USPO	To document notification of conditions of supervision	YES	2 pages	Every case	AO form	YES	YES	Need to retain original
RPS 80 or Salient factor score sheet	Supervision*	USPO	USPO	To determine the level of supervision required for a defendant	NO	1 page	Most cases	AO form	YES	YES	*No longer used, completed for statistics
Notice of Action	Parole Hearings	Parole Commission	•Parole Commission •Inmate •BOP •USPO	Determined release for inmates awaiting parole	NO	2 pages	Parole cases only	Parole form	YES	YES	
Release and Arrival	Release from custody	BOP or Community Corrections Center	•BOP •Parole Commission •USPO •CCC	Notify parties of release of inmates and expected arrival date and time	NO	1 page	All custody cases	BOP form	YES	YES	
Parole Certificates (Special Parole and Mandatory Release)	Release from custody	Parole Commission	•BOP •Parole Commission •USPO •Defendant	Notify parties of release restrictions on supervision	NO	2 pages	Only parole cases	Parole Commission form	YES	YES	
Pre-Release Investigation Requests and Responses	Supervision	BOP	•BOP •Parole Commission •USPO	•Requested by Parole Commission or BOP for relocation in supervised release cases and for regular release in parole cases •To approve home and employment	NO	2 pages	All parole cases and supervised release cases not going to sentencing District	BOP format for request, AO format for response	YES	YES	
Furlough Investigation Requests		BOP	•BOP •USPO	To determine acceptability of furlough request	NO	1 page	Many cases	BOP and Parole Commission Regulations	YES	YES	



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Flash Notice (I-12) Supervision Transfer Notice (I-433) Final Disposition (R-84)	Supervision	USPO	•FBI •USPO	Establish case on NCIC for tracking new arrests	NO	2 pages	Every case	FBI	YES	YES	
Defendant photographs	•Sentencing •Supervision	USPO	•USPO •Court •Law Enforcement •Contract Programs •BOP	Establish identity of defendant	NO	1 page	Every case	None	YES	YES	Need standard format for storing digital images
Violation Worksheets and Violation Summary	Violation Hearings	USPO	•USPO •Court •Sentencing Commission	Assists in determining guidelines for violations of probation and supervised release	NO	8 pages	All violation cases subject to guidelines	Sentencing Commission format	YES	NO	
Transfer of Jurisdiction (Prob Form 22)	Transfer cases	•USPO •Judge	•USPO •Court •Clerk of Court	Transfer Court jurisdiction to another District	NO	1 page	Some cases	Format by Court or AO	YES	YES	
Initial Case Supervision Plan	Supervision	USPO	•USPO •SUSPO •Sometimes Judges	Identifies court ordered sanctions, supervision activities, third party risk, risk control & correctional treatment plans	YES	3 pages	Every case	Monograph 109	YES	YES	Available on USPCM
Chronological Entries (field notes)	•Presentence Investigation •Supervision	USPO	•USPO •SUSPO •Judge	Needed for supervision and in case of violation	YES	Varies	Every case	Title 18 USC3603 Monograph 109 and AO Manual	YES	YES	Chronological Entries pages vary according defendant and term of supervision
Case Reviews	Supervision	USPO	•USPO •SUSPO	Addresses supervision problems & goals	YES	Approx. 10 pages annually	Every case	Monograph 109	YES	YES	Conducted semi-annually 5 pages each
Supervisor's Case Plan Review	Supervision	SUSPO	•USPO •SUSPO	Notify USPO of supervision problems which need to be addressed	YES	1 page	Every case	Monograph 109	YES	YES	
Supervision Report for Parole Commission on parolees & mandatory releasees (F3)	Supervision	USPO	U.S. Parole Commission	To determine parolee or mandatory releasee's adjustment to supervision	YES	2 pages annually	Parole cases only	Parole Commission Regulations	YES	YES	
Record of Fine & Restitution Payments and Disbursement Records (Prob Form 38)	Supervision	USPO	USPO	To monitor payments and receipts	NO	1 page	Many cases	Based on J & C	YES	YES	

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Monthly Supervision Report (Prob. Form 8)	Supervision	•USPO •Defendant	USPO	To monitor offender's status via written documentation	NO	2 pages monthly	Every case	Monograph 109 and AO Manual	YES	YES	Submitted monthly during term of supervision
Notice Regarding Monthly Supervision Report (Prob 36)	Supervision	USPO	•Defendant •USPO	•To notify of problem with monthly supervision report •To provide record of problem with defendant's monthly reports	YES	1 page	Some cases	AO Manual	YES	YES	
Written Reprimand	Supervision	USPO	•Defendant •USPO •SUSPO	To provide file documentation that a defendant has received written notification of violation	YES	1 page	Some cases	Monograph 109	YES	YES	There is no standard form
Third Party Risk Notification (Form 32)	Supervision	USPO	Potential third party (i.e., employer)	Notify party of potential risk of offender	YES	1 page	Some cases	AO Manual	YES	YES	
Community Service Forms	Supervision	•USPO •Agency	•USPO •Agency	To document completion of community service hours	YES	1 page	Some cases	Community Service Monograph	YES	YES	Unique to each District
Drug/Alcohol/Mental Health Contract Forms (45 & 46)	Supervision	•USPO •Contract Agencies	•USPO •Contract Agencies	Authorizes and documents treatment of defendants	NO	2 pages	Some cases	AO format for contract agencies	YES	YES	Confidential
Travel Request/Travel Permit and Travel for Parole cases (F-6)	Supervision	•USPO •Judge •Defendant	•USPO •Judge •Defendant •Other Districts •Parole Commission	Provides defendant with written permit to travel Documents/Notifies of travel of defendant	YES/NO	2 pages	Most cases	AO Manual, Monograph 109 and Parole Regulations	YES	YES	Numerous travel permits may exist due to work related travel outside District
Urinalysis collection documents	•Presentence Investigation •Supervision	USPO	•USPO •Court •Contract Program	Documentation of drug test results	YES/NO	Varies	Most cases	AO Manual and Contract Regulations	YES	YES	Confidential May not need to retain documents relating to negative results
Violent/Drug Offender Address change to Law Enforcement	Supervision	•USPO •BOP	•State Atty. General •Local Law Enforcement	Verify notification to appropriate law enforcement agency	YES/NO	1 page	All drug/ violent cases	Statute and AO Regulations	YES	YES	Required by statute
Report on Offender under Supervision (Memo or Form 12 A,B and C)	Supervision	USPO	•USPO •Court •Defendant •AUSA •Defense	Advise Court of defendant behavior - request action, i.e. warrant, modification	YES	1 to 3 pages each	Many cases	AO Manual Monograph 109	YES	YES	

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Waiver/Extension (Prob 49)	Supervision	•USPO •Defendant	•USPO •Court •Clerk of Court •AUSA •Defense	To waive hearing to modify supervision conditions and/or extend supervision	YES	1 page	Many cases	Forms package	YES	YES	
Warrant request (H-20)	Supervision	USPO	Parole Commission	Notify parole commission of violation	NO	5 pages	Used only in parole cases	Parole Regs.	YES	YES	Parole violation only
Personal history of absconder (Prob 20)	Supervision	USPO	•U.S. Marshal •Warrant Supervisor	Provides history of absconder	YES	2 pages	All warrant cases	AO form	YES	YES	
Preliminary Interview & Recommendation (parole cases only) [F2, CGA forms, etc.]	Supervision	Parole Commission	•USPO •Parole Commission	USPO conducts preliminary interview & sends report to Parole Commission with recommendation	YES	10 pages	Parole revocations for technical	Parole Commission Regulations	Yes	YES	
Order of Discharge from Probation / Supervised Release (Prob 35)	Supervision	Judge	•USPO •Clerk of Court	Documentation of closing of file	YES	1 page	Many cases	Statute and AO Manual	YES	YES	
Notice of Discharge (parole cases only) [H-15]	Supervision	Parole Commission	USPO	Notice to close file	YES	1 page	Parole cases only	Parole Commission Regulations	YES	YES	
Judgment for Violation of §844 (AO Form 246)	Sentencing	•Court •Clerk of Court •Sometimes USPO	USPO	Sentencing Order used in certain drug possession cases	YES	2 pages	Rarely used	Legal format	NO	YES	
Reinstatement of Federal Benefits (AO Form 249)	Post Sentencing	•Court •Clerk of Court	•USPO •Defendant	To reinstate federal benefits per guidelines	YES	2 pages	Rarely used	Legal format	NO	YES	
Parole Form F-1 (Waiver)	Modification Proceeding	•USPO •Parolee	•USPO •Parole Commission	Agreement to allow Parole Commission to modify conditions of supervision	NO	1 page	Only used in parole cases	Parole Commission Regulations	YES	YES	
Military Forms: FL150 R&A, DA1707 Parole Certificate, Annual Adjustment Report, Restoration to Duty & Clemency Statement	Supervision of Military cases	Military Authority	USPO	Sets out regulations covering military cases	NO	Varies	Only used in military cases	Military Regulations	YES	YES	
Parole Warrant (H-21)	Supervision	Parole Commission	•USPO •Marshal •Parole Commission	Authority to arrest parolee	NO	1 page	Only used in parole cases	Parole Commission Regulations	YES	YES	

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Appointment Notice (Prob 28)	Supervision	USPO	•USPO •Court •Defendant	Notify defendant of appointment	YES/NO	1 page	All cases	AO form	YES	YES	
Treaty Exchange Forms		•Parole Commission •Foreign Country (?)	•USPO •Parole Commission •BOP	For custody transfer of prisoners	No	Varies	Rarely used	Legal format	YES	YES	More prevalent in border districts
Progress Reports from BOP		BOP	•USPO •BOP	Summarizes progress, program participation, etc., of inmate	NO	4 pages	All inmates	BOP format	YES	YES	
Community Corrections Center Case Plan and Closing Summary		CCC	•USPO •CCC •BOP	Sets up plan and summarizes behavior	NO	2 pages	All CCC residents	BOP format	YES	YES	
Request for Home Confinement Investigation and related forms		BOP	•USPO •BOP	Requests USPO to accept case on home confinement	NO	Varies	Inmates eligible for Home Confine. Release	Agreement between BOP and AO	YES	YES	
Electronic Monitoring Forms and Documents	Supervision	•USPO •Defendant	•USPO •Contract Agency	Used to set up contract for Electronic Monitoring; agreement between USPO and defendant	NO	Varies	Many cases	AO format	YES	YES	

## b. Elements of the Pretrial Services Case File

Description	Proceeding	Item Creator	Item User (Matters of Record-- Public Assumed) [Recipient]	Access Reason/Frequency (Public-On Demand for Any Unsealed Pleadings)	Available Electronically?	Average Size	Frequency	Significant Format Requisites	Need To Secure? [Restrict Access]	Need To Retain?	Other Special Issues
Charging document i.e. Indictment, Information, Complaint	•Initial Appearance •Detention Hearing	AUSA	•PS •Court •Probation	•Information about nature and circumstances of the offense for bond considerations •To weigh as a factor in determining appropriate bond conditions •Presentence investigation	NO	1-9 pages	Every case		NO	YES	[Some Districts keep top page only]
Pretrial Services Report	•Initial Appearance •Detention Hearing and any bond review	PSA	•Court •AUSA •Defense •Probation	•To assist with bond determination •Presentence investigation	YES-AO form	2-3 pages	Every case	See PS 3 form	YES	YES	
Referral Sheet	N/A	PSA	PS	To identify a new case	NO	1 page	Every case	See referral sheet document	YES	YES	[Retention depends on what information is listed]
PS Worksheet	N/A	PSA	•PS •Probation	•To capture background info to complete PS Report •To begin their investigation for PSI Report	NO	9 pages	Every case	See PS 2 form	YES	YES	
PS Worksheet for diversion cases	N/A	PSA	PS	•To capture background info relative to divertees	NO	9 pages	Every diversion case	See PS 2A form	YES	YES	
Financial Affidavit	Initial Appearance	•PSA •Clerk of Court •Defense	Court	To appoint counsel as necessary	NO	1 page	When a court appointed counsel is requested	N/A	YES	NO	PTS may do this as a courtesy only; not technically their duty
Order of Release [AO199] (including Appearance Bond Order)	•Initial Appearance •Detention Hearing and any bond review	Court	•PS •Probation •Court •USM •AUSA •Defense	•To open case file and enforce court order •Presentence investigation •Maintain record	NO	1 -3 pages	Every case in which defendant is released	N/A [Form 199]	YES	YES	
Orders of Detention (Temporary : AO-470; Pending Trial: AO-472)	•Initial Appearance •Detention Hearing and any detention review	Court	•Probation •PS •Court •USM •AUSA •Defense	•Presentence Investigation •Maintain record	NO	2 pages	Every case in which defendant is detained	Forms 470 and 472	YES	YES	
Notice to Defendant (Advice of Rights)	N/A Hearings (rarely) for challenges	PSA	PS	Advise defendant of his rights	NO	1 page	Every case	See PS 1 form	NO	YES	

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Drug testing (Advice of Rights)	N/A Hearings (rarely)	PSA	PS	Advise defendant of his rights	NO	1 page	Every case	See drug testing advice of rights form	NO	YES	
Authorization to release info [PS6]	N/A Hearings (rarely)	PSA	•PS •Probation	•To obtain permission from defendant •To release info from third parties	NO	1 page	Every case	See PS 6 form	NO	YES	
Authorization to release confidential info (Drug or Alcohol Abuse Program) [PS6B]	N/A Hearings (rarely)	PSA	•PS •Probation	To obtain permission from defendant to release from drug or alcohol abuse treatment program	NO	1 page	When necessary	See PS 6B form	NO	YES	
Case file checklist (Supervisor use)	N/A	PSA	PS	Identifies documents needed for case file	NO	1 page	Every case	See PS 15 form	NO	YES	
Criminal history record [Record check printouts]	•Initial Appearance •Detention Hearing and any bond hearing	Local, State, and Federal LE agencies	•PS •AUSA •Defense •Probation	Investigation and Supervision purposes	YES	varies	Every case		YES	YES	
Verification Worksheet	N/A	PSA	•PS •Probation	Recordation of contacts prior to IA in preparation of bail report	NO (possibly available in forms package)	1 page	Every case	See PS 2V Form	YES	YES	Some PSO's use chronos instead
Initial Chronological Record	N/A	PSA	•PS •Probation	Recordation of initial court info	NO	1 page	Every case	See PS 11 Form	NO	YES	Some type info, some handwrite
Chronological Record	N/A	PSA	•PS •Probation	Recordation of case activity	YES	varies	Every case	See PS 12 Form	YES	YES	
Correspondence to judicial officer, ie. violation notices and/or status change information	Bail Review Hearing (including violation hearings)	PSA	•Court •AUSA •Defense	To determine if a change in release conditions is needed and whether a recommendation for a change in release conditions is needed	YES	1 to 3 pages	Every case where there is a viol or status change	See viol macro	YES	YES	
Release Status Report	•Plea •Conviction •Sentencing, •Arraignment on Superseding Indictments (local policy)	PSA	•Court •AUSA •Defense •Probation	Case review	YES	1 page	Every supervision case	See PS 38 Form-Optional letter format	YES	YES	
Initial Case Supervision Plan	N/A	PSA	PS	Tool to identify appropriate supervision strategies	YES (forms package)	1-3 pages	Every supervision case	See PS 36 Form	YES	YES	

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Passport notice	N/A	PSA	•PS •State Dept. •Probation •Clerk of Court	Enforce court ordered condition	YES (forms package)	1 page	When necessary	See PS 40	NO	YES	
Passport Receipt	N/A	PSA	•PS •Defendant	Enforce Court ordered condition	YES (forms package)	1 page	When appropriate	See PS41	YES	YES	
Court Notice	N/A	Court PSA	•PS •Defendant	Info re: Court appearances	NO	1-3 pages	Every case		NO	YES	
Urinalysis Lab Slips/Reports Chain of Custody	N/A	PSA	PS	Recordation of urinalysis results, document authenticity	YES	1 page	Case driven		YES	YES	
Result form	N/A	PSA Lab	PS	Notification of results	NO	1 page	Case driven		YES	YES	
Admission of Use	N/A	PSA	PS	Notification of positive results and defendant admission (in house)	NO	1 page	Case driven		YES	YES	
Summary Test Results	N/A	PSA	PS	Keep records by defendant	NO	1 page	Case driven		YES	YES	
Supervision Report	N/A	Defendan t	PS	Recordation of info about defendant's employment, residence, and court status in officer's absence	NO	1 page	When necessary	See PS 39 Form	YES	YES	
Release Reporting Instructions	N/A	PSA	Defendant	Identifies defendant's specific reporting schedule and verifies that PSO explained conditions	YES	1 page	Every supervision case	See PS 7 Form	YES	YES	
Supervision Plan Review	N/A	PSA	•PS •Supervisor	Case review	YES	1 page	Every supervision case-every 6 mos	See PS 37 Form	YES	YES	
Consent to modify conditions of release	N/A	PSA (signed by defendant )	•PS •Court •AUSA •Defense •Defendant	To change bond conditions Case file/record	YES (forms package)	1 page	As needed	See PS 42 Form	YES	YES	Document signed by defendant
Supervisor's case file audit report	N/A	PSA	PS	Recordation of officer's compliance with release order and case plan/supervision strategies	NO	2 pages	Every case except pretrial diversion	See PS 13 Form	YES	YES	

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Drug testing random add/drop document	N/A	PSA	Defendant	To Identify cases for random selection of drug testing	NO	1 page	Every case where there is a condition for drug testing	See Form (??)	YES	YES	Group unsure of what this document is
Contract Treatment Program Plan	N/A	PSA	•PS •Treatment facility •Defendant	For treatment services and payment	NO	1 page	Every case where a referral exists to contract with a facility	See Prob 45 Form	YES	YES	
Referral for Substance Abuse treatment and/or halfway house placement	N/A	PSA	•PS •Service Providers (halfway house)	Background info on defendants referral to treatment and/or halfway house	NO	1 page	Every case where a referral for drug treatment and/ or halfway house has been made	Standard referral form exists but is not widely used	YES	YES	
Request for background information (Forms 14A-G; Arrest, Military, Medical, Employment, Education, Birth, Marriage and Divorce	N/A	PSA	•PS •Probation	Bail investigation, Supervision purposes PSI Investigation	NO	1 page	Some cases (Medical, Arrest, Employment used infrequently)	See Probation Forms 14 A-G	YES	YES	Education, Birth, Marriage and Divorce, Military Forms rarely ever used
Diversion Monthly Report	N/A	•PSA •Divertee	PS	To monitor changes in divertee's status	NO	1 page	Every diversion case	See Report	YES	YES	
Home Confinement Program Forms (liability, contract, conditions, phone service)	N/A	PSA	•PS •Defendant	To install EM services	YES	1-4 pages	Every EM case	Contractors form	YES	YES	
Absconder Sheet	N/A	PSA	•PS •USM	To identify specific info about defendant	NO	2 pages	Every supr case in warrant status	Existing form	YES	YES	
Termination document ie J&C Order, Order of Dismissal	N/A	Court	•PS •AUSA •Defense •Probation	To close case Case File	YES	1-4 pages	Every case	YES	NO	YES	



## b. Elements of the Pretrial Services Case File

Description	Proceeding	Item Creator	Item User (Matters of Record-- Public Assumed) [Recipient]	Access Reason/Frequency (Public-On Demand for Any Unsealed Pleadings)	Available Electronically?	Average Size	Frequency	Significant Format Requisites	Need To Secure? [Restrict Access]	Need To Retain?	Other Special Issues
Miscellaneous Documents											
Collateral Investigation Worksheet	N/A	PSA	PS	To initiate an investigation or obtain information for another district	NO	1 page	Every collateral request	Local form	YES	YES	
Removal Letters and Courtesy Supervision Letters	N/A	PS	Other District		NO	1 page plus encl.	case dependent	NO	YES	YES	
Letter to Defendant	N/A	PS	•Defendant •Defense	Notify defendant	NO	1 page	as needed	None	YES	YES	
Court/Officer Work Sheet	Every Hearing	PS	PS	Used to record results of Court Hearings (some Districts always use it, others use it only when assigned officer cannot attend hearing)	NO	1 page	as needed	NO	NO	YES	
Petition for Action	•Bail review •Violation review	PS	•Court •AUSA •Clerk of Court •Defense •Defendant •Marshal	•To request action of Court for modification or revocation of bond •Case record	YES	1 page	as needed	YES	YES	YES	
Financial Worksheets (Forms 48 A-C)							Pretrial Diversion only				
Financial Documents (statements, pay stubs, tax returns, etc.)											

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Credit Reports											
Medical Reports											
Treatment records from contractors											
Data entry forms											
Presentence Reports from other Jurisdictions											
Record of Restitution Payment							Pretrial Diversion only				
Record of Community Service Performed							Pretrial Diversion only				
Photographs											
Travel Authorization Documents											

## b. Elements of the Pretrial Services Case File

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Pretrial Diversion Agreement											
Field Sheet (?)											